

Chapter XVII: Protocol Management

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Protocol Consent Form Management in CRIS

This tutorial summarizes the change in documenting the assignment of a patient to a protocol and a new process for forwarding signed protocol consent documentation to the Medical Record Department (MRD). This change in process impacts all end-users of the CRIS system, as well as staff who have previously completed the NIH/MIS Form 54.

The signature page of the completed protocol consent document (Form 2514-1) must be faxed to the MRD at 301 480-3126 upon completion. The original signed protocol consent document must be filed in the inpatient chart for inpatient admissions and forwarded to the MRD for outpatients for filing in the permanent medical record.

Definition of Terms

Form 54/ATV Form – The Form 54 for requesting admissions, travel and vouchers has been replaced by the Admissions, Travel and Voucher System also known as ATV. The ATV system can be found at <http://atv.cc.nih.gov>. For additional information about the ATV system, contact admissions at 301 496-3141.

Primary Protocol – The primary reason for the patient visit to the Clinical Center. All orders entered into CRIS will be attributed to this primary protocol unless they are included in a protocol order set.

Secondary Protocol – Ancillary protocols specific to a patient visit or spanning multiple visits. Orders entered in CRIS will not be attributed to secondary protocols unless there is an active protocol order set established for that particular protocol.

Generic Protocol - an emergency protocol designation assigned when a patient presents for admission but has no admissions request (Form 54/ATV). This protocol designation is only valid for 72 hours.

Active Protocol – a protocol in which a patient is actively participating

Active Protocol Status Designations

- Unconfirmed – patient assigned to a protocol, but the Medical Record Department has not received a faxed copy of the signature page of a valid, signed protocol consent form (NIH-2514-1)
- Confirmed – medical records has received a faxed copy of the signature page of a valid, signed protocol consent form

- Exemption – patient assigned to designated exemption protocol, or remains on a treatment protocol as a “single patient single use” exemption

Inactive Protocol – a protocol in which a patient is no longer participating or the study has ended.

Inactive Protocol Status Designations

- Removed – an *individual* patient is removed from a protocol because of medical reasons, or because they have completed the protocol.
- Error – the protocol was assigned in error.
- Terminated – protocol completed or ended (e.g. end of study) and *all* patients are removed from the protocol.

Visit Reason – a term in CRIS identifying the primary protocol in the health issues section

Protocol Order Set – a group of orders related to a specific protocol

Onset Date – indicates the actual date the protocol consent document was signed

Entered Date – indicates the date that the consent status was entered and/or updated in the CRIS health issues section of the patient information tab.

Description of the New Process

Placing a New Patient on a Primary Protocol or Changing a Primary Protocol:

1. Complete a Form 54 – now known as an Admissions, Travel and Voucher Request (ATV). This form can be found at <http://atv.cc.nih.gov>
2. Electronically submit the ATV form to admissions.
3. Admissions will register the patient, assign a medical record number and document the patient’s primary protocol number. The primary protocol will display in the CRIS header information for the patient, and under visit reason in the CRIS “Health Issues” section of the “Patient Info” tab.
4. Obtain all required signatures on the last page of the protocol informed consent document (NIH-2514-1)

5. Fax the last page (signature page) of the protocol informed consent to Medical Records at 301 480-3126 as soon as all of the signatures have been obtained.
6. Inpatient Status: File the original protocol consent document in the inpatient chart.
Outpatient status: Forward the original protocol consent document to the MRD for filing in the permanent medical record.
7. The MRD will update the protocol status and confirm receipt of the consent document in the CRIS under the health issues section of the patient information tab no later than the next business day.
8. For subsequent visits, use the ATV request to change the designation of a primary protocol. NOTE: this will only change the primary protocol for the specified patient. The previous primary protocol will automatically become a secondary protocol. To "inactivate" an existing protocol patient assignment, refer to the section below on "Inactive Protocols".

Placing a Patient on a Secondary Protocol:

1. Complete all required signatures on the last page of the protocol informed consent document (NIH-2514-1)
2. Fax the last page (signature page) of the protocol informed consent to the Medical Record Department at 301 480-3126 as soon as all of the signatures have been obtained.
3. Inpatient status: File the original protocol consent form in the in patient chart.
Outpatient status: Forward the original consent document to the MRD for filing in the permanent medical record.
4. The MRD will update the protocol status and confirm receipt of the faxed signature page of the protocol consent document in the CRIS health issues section of the patient information tab.

Protocol and Consent Information in CRIS**Viewing Protocol Information, Protocol Status and Consent Form Management in CRIS:**

1. Select a patient from the patient list.
2. Protocol information can be viewed under the "Summary" tab under "Active Health Issues".
3. Or the same information can be viewed under the "Patient Info" Tab by selecting the "Health Issues" view.

Test, Pharm1 - Sunrise Clinical Manager

File Edit View GoTo Actions Preferences Tools Help

Test, Pharm1 10D-MICU-CC 1-23-45-6 / 12344 59y Female

Unreviewed Allergies

Patient List Orders Results Documents Observations Patient Info Summary

Active Allergies

Type	Allergy	Reaction	Entered Date
------	---------	----------	--------------

Active Health Issues

Type	Health Issue	Onset Date	Entered Date
Visit Reason	2004-CC-0032	7/20/2004	7/20/2004 18:28
Protocol	2004-CC-0032	7/25/2004	7/25/2004 15:35

Active Comments

Type	Comment	Scope	Entered Date
------	---------	-------	--------------

Active Medications

Name	Summary	Stop Date
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/16/2004
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/17/2004
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/17/2004
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/17/2004
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/17/2004
AA Pharmacy ...	llone and a half inch affected eye(s) ...	7/16/2004
AA Pharmacy ...	llone inhalation affected eye(s) as do...	7/16/2004
AA Pharmacy ...	llone inhalation affected eye(s) a...	7/16/2004

Enter Order Ayres, Elaine (Other) SCMDEV Environment - Primary A

Screen 1: Sample View of Summary Tab

SCM Clinical Manager Dev - Citrix ICA Client

Test, Pharm1 - Sunrise Clinical Manager

File Edit View GoTo Actions Preferences Tools Help

Test, Pharm1 10D-MICU-CC 1-23-45-6 / 12344 59y Female

Unreviewed Allergies

Patient List Orders Results Documents Observations Patient Info Summary

Summary Views:

- Alerts
- Allergies/Comments
- Care Providers
- Health Issues
- Significant Events

Address/Phone/Contacts

Demographics/Visit Data

Financial/Employer

Visit History

Data Entry:

- Address
- Alias
- Allergy
- Care Provider
- Comment
- Contact
- Demographic
- Discharge
- Employer
- Health Issue
- Height/w/weight
- Insurer
- Phone
- Significant Event

Type	Health Issue	Status	Scope	Onset Date	Entered Date
Visit Reason	2004-CC-0032	Active	This Visit	7/20/2004	7/20/2004 18:28
Protocol	2004-CC-0032	Active	General	7/25/2004	7/25/2004 15:35

Show Inactive

Details History

Ready Ayres, Elaine (Other) SCMDEV Environment - Primary A

Screen 2: Sample View of Patient Info Tab

Explanation of Terms on the Health Issues Screen**Type:**

Visit Reason – represents the primary protocol. The primary protocol is the reason for the patient visit to the Clinical Center. All orders entered into CRIS will be attributed to this primary protocol unless they are included in a specific protocol order set.

Protocol – represents all other patient protocols, either active or inactive

Health Issues: Lists the protocol number

Status: Designates the status of a protocol for a specific patient.

Active Protocol – a protocol in which a patient is actively participating

Active Protocol Status Designations

- Unconfirmed – patient assigned to a protocol in CRIS, but the Medical Record Department has not received the faxed copy of the signature page from a valid, signed protocol consent form (NIH-2514-1)
- Confirmed – the Medical Records Department has received the faxed copy of the signature page from a valid, signed protocol consent form
- Exemption – will be noted as specific type of exemption by the number assigned:
 - Single Patient Single Use – retains treatment protocol number but protocol status will be noted as “Exemption”
 - Emergency Use IND – Special Exemption Number will be assigned and entered by Medical Records as the Primary Protocol (YR-IC-9980 number)
 - Treatment IND – Special Exemption Number will be assigned and entered by Medical Records as the Primary Protocol (YR-IC-9990 number)

Inactive Protocol – a protocol in which a patient is no longer participating

Inactive Protocol Status Designations

- Removed – an *individual* patient is removed from a protocol.
- Error – the protocol was assigned in error.
- Terminated – protocol completed or ended (end of study) and *all* patients are removed from the protocol.

Scope: Indicates "This Visit" for the primary protocol, and "General" for all other protocols

Onset Date: Actual date that protocol consent form was signed.

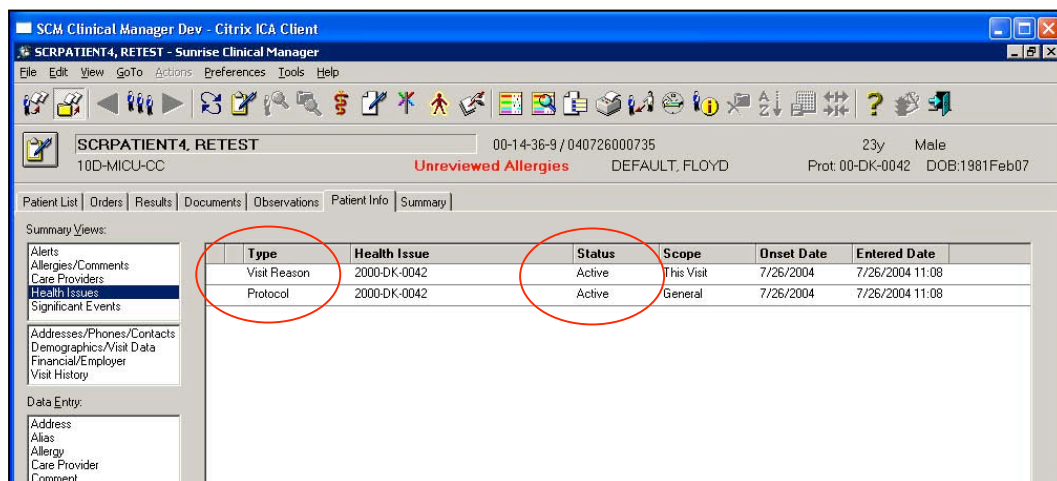
Entered Date: The date that the Medical Record Department entered the consent data into CRIS verifying the receipt of the faxed copy of the protocol consent signature page.

CRIS Documentation of Protocol and Consent Status

Primary Protocols

A protocol is posted in CRIS when admissions has registered the patient and assigned a patient to a protocol according to the information submitted via the ATV form. The primary protocol is posted twice in CRIS – the "Visit Reason" designates the primary protocol. The "Protocol" will document the consent status.

Prior to the receipt of the faxed copy of the signature page of a valid, signed protocol consent form, MRD will update the protocol status from "Active" to "Unconfirmed" for the protocol.



SCR Clinical Manager Dev - Citrix ICA Client

SCRPATIENT4, RETEST - Sunrise Clinical Manager

File Edit View GoTo Actions Preferences Tools Help

SCRPATIENT4, RETEST 00-14-36-9 / 040726000735 23y Male
10D-MICU-CC Unreviewed Allergies DEFAULT, FLOYD Prot: 00-DK-0042 DOB:1981Feb07

Patient List Orders Results Documents Observations Patient Info Summary

Summary Views:

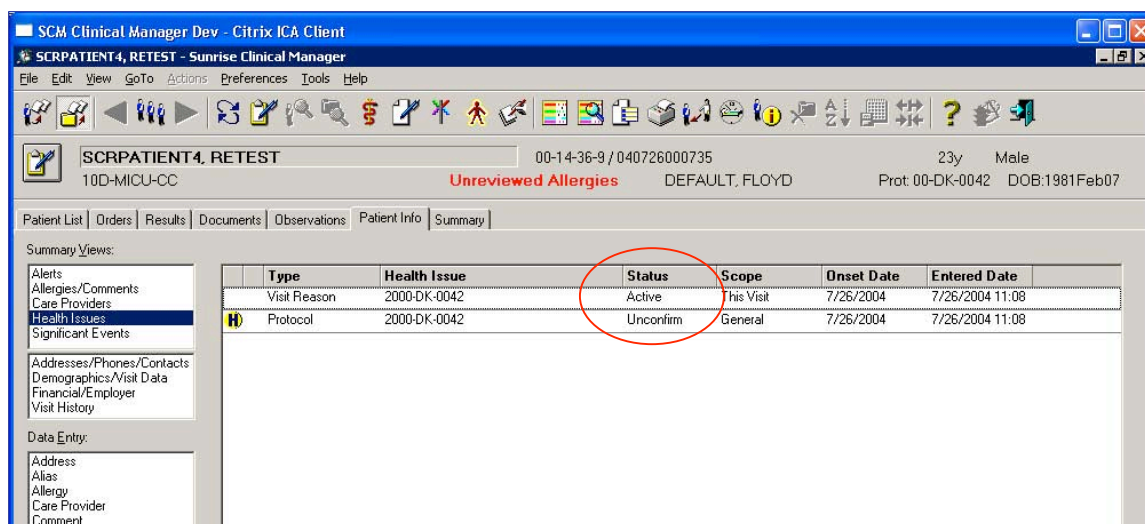
- Alerts
- Allergies/Comments
- Care Providers
- Health Issues
- Significant Events
- Addresses/Phones/Contacts
- Demographics/Visit Data
- Financial/Employer
- Visit History

Data Entry:

- Address
- Alias
- Allergy
- Care Provider
- Comment

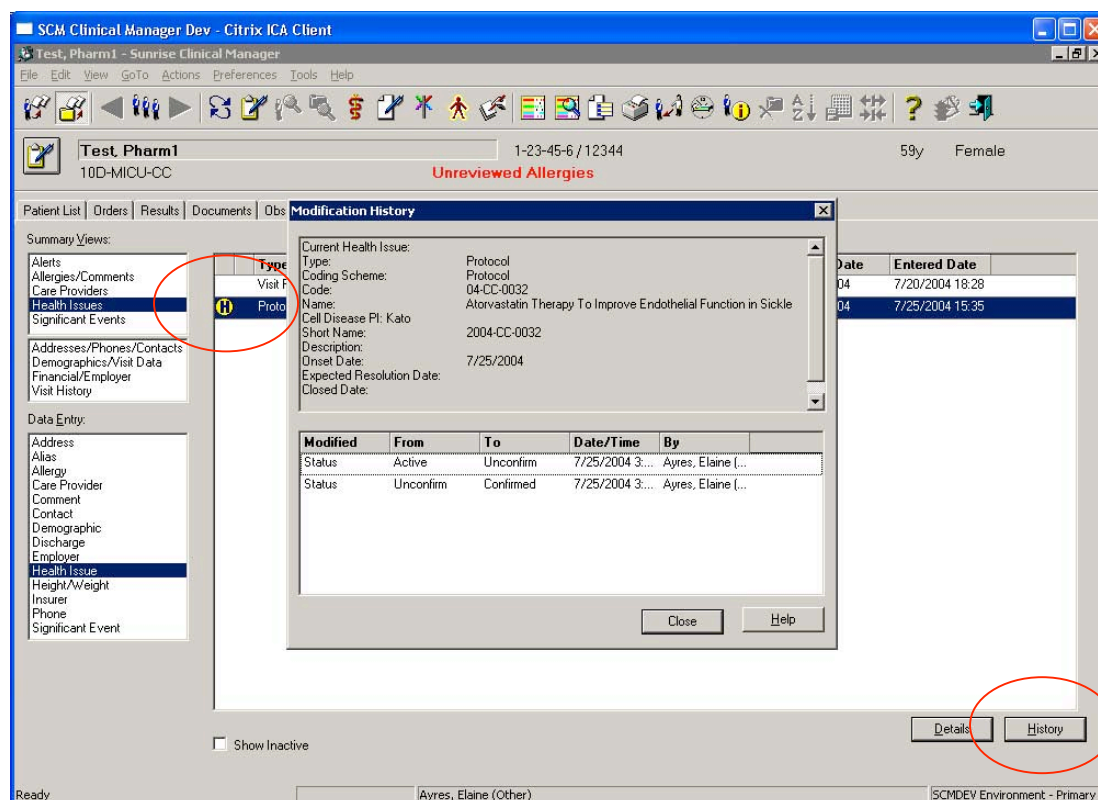
Type	Health Issue	Status	Scope	Onset Date	Entered Date
Visit Reason	2000-DK-0042	Active	This Visit	7/26/2004	7/26/2004 11:08
Protocol	2000-DK-0042	Active	General	7/26/2004	7/26/2004 11:08

Screen 3: Protocol Visit Types and Status



Screen 4: Change in Status from active to unconfirmed

Note the Yellow H next to the protocol. When highlighting a protocol with this "H" icon, the "History" button at the bottom of the screen becomes active. Selecting the History button will display information about the protocol and an audit trail of changes in consent status will appear.



Screen 5: Protocol history display

Placing a Patient on a Secondary Protocol

1. Complete all required signatures on the last page of the protocol informed consent document (NIH-2514-1)
2. Fax the last page (signature page) of the protocol informed consent to the Medical Record Department at 301 480-3126 as soon as all of the signatures have been obtained.
3. Inpatient status: File the original protocol consent form in the in patient chart.
Outpatient status: Forward the original consent document to the MRD for filing in the permanent medical record.
4. MRD will update the protocol status and confirm receipt of the faxed signature page of the protocol consent document in the CRIS health issues section of the patient information tab.
5. If a patient changes their primary protocol, the former primary protocol will automatically become a secondary protocol.

The screenshot shows the 'Test, Pharm1 - Sunrise Clinical Manager' window. The patient information tab is active, displaying 'Test, Pharm1' with ID '10D-MICU-CC' and age '59y Female'. The 'Unreviewed Allergies' section is highlighted. The 'Summary Views' section on the left includes 'Alerts', 'Allergies/Comments', 'Care Providers', 'Health Issues', 'Significant Events', 'Addresses/Phones/Contacts', 'Demographics/Visit Data', 'Financial/Employer', and 'Visit History'. The 'Data Entry' section includes 'Address', 'Alias', 'Allergy', 'Care Provider', 'Comment', 'Contact', 'Demographic', 'Discharge', 'Employer', 'Health Issue', 'Height/Weight', 'Insurer', 'Phone', and 'Significant Event'. The 'Health Issues' table is displayed with the following data:

Type	Health Issue	Status	Scope	Onset Date	Entered Date
Visit Reason	2004-CC-0032	Active	This Visit	7/20/2004	7/20/2004 18:28
Protocol	2004-CC-0184	Active	General	7/25/2004	7/25/2004 15:44
H Protocol	2004-CC-0032	Confirmed	General	7/25/2004	7/25/2004 15:35

A red circle highlights the 'Onset Date' and 'Entered Date' columns for the new protocol (2004-CC-0032). A red arrow points from a text box to the 'Entered Date' column.

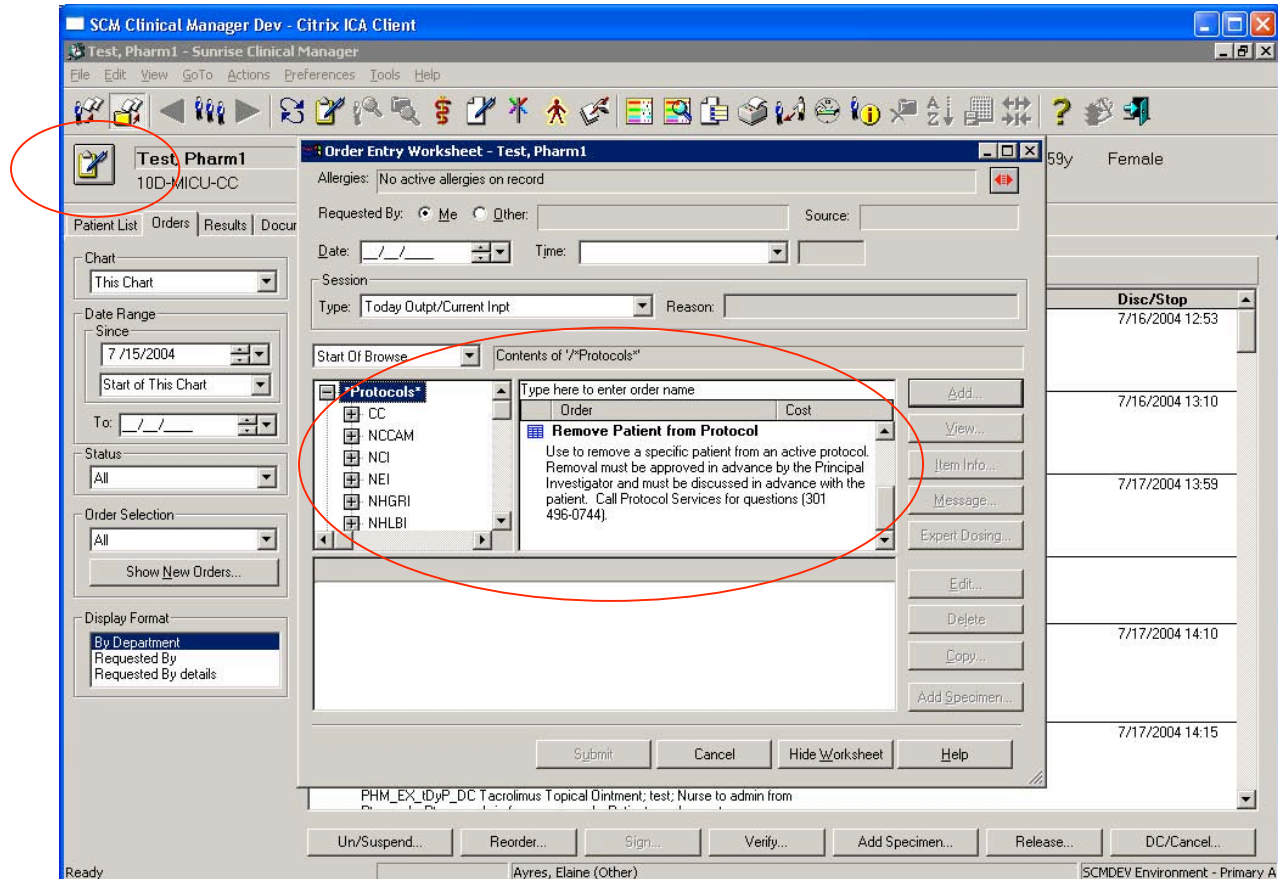
Note
addition of
new
protocol

Screen 6: Onset and expired data

The "Onset Date" indicates the actual date the protocol consent was signed. The "Entered Date" indicates the date that the Medical Record Department entered the consent data into CRIS verifying the receipt of the faxed copy of the protocol consent signature page.

Removing a Patient from a Protocol

1. To remove a patient from a protocol, enter a service request using the Order Entry Worksheet.
2. Make sure a patient selected and click on the Order Entry Icon
3. Expand the protocols order category under Start of Browse
4. Select "Remove Patient from Protocol".



Screen 7: Order entry worksheet display of service requests to remove protocol

5. Within the order form, enter the required information including the protocol number, the protocol title and the reason for removal

Protocol Removal - Test, Pharm1

Order: Remove Patient from Protocol Order ID: 00188R288

Requested By: Ayres, Elaine

Messages: Use to remove a specific patient from an active protocol. Removal must be approved...

Ordering Information

☐ Conditional Order Condition... Template Name:

Protocol Number Format: Enter the specific protocol number from which you want to remove the patient. The format of the protocol number is 2 numbers, followed by 1 or 2 letters, followed by 4 numbers, e.g. ##ZZ####

★ Protocol Number:

Protocol Title Format: Enter the 30-character short title of the protocol from which you want to remove the patient.

★ Protocol Title:

★ Reason for Removal:

Reassignment Instructions:

Reassignment Number:

Reassignment Title:

Special Instructions:

Add Cancel Repeat Item Info Help

Screen 8: Order form

6. Submit the service request. Your request will print as a transmittal in the Medical Records Department. The Medical Records Department will then change the status of the protocol in the health issues section of the patient information tab and that protocol assignment for the selected patient will become inactive.

Order Entry Worksheet - Test, Pharm1

Allergies: No active allergies on record

Requested By: Me Other Source:

Date: / / Time:

Session

Type: Today Output/Current Inpt Reason:

Start Of Browse Contents of "/Protocols"

Protocols

Remove Patient from Protocol

Use to remove a specific patient from an active protocol. Removal must be approved in advance by the Principal Investigator and must be discussed in advance with the patient. Call Protocol Services for questions (301 496-0744).

Remove Patient from Protocol 7/25/2004 Routine Pending

Submit Cancel Hide Worksheet Help

Ayres, Elaine (Other)

Screen 9: Submit order

Viewing “Inactive Protocols”

Check the “Show Inactive” box at the bottom left of the patient information screen. Inactive protocols will be added to the display in *italics*. Note that the history is retained for inactive protocols as indicated by the yellow “H” icon.

SCM Clinical Manager Dev - Citrix ICA Client

Test, Pharm1 - Sunrise Clinical Manager

File Edit View GoTo Actions Preferences Tools Help

Test, Pharm1 1-23-45-6 / 12344 59y Female

Unreviewed Allergies

Patient List Orders Results Documents Observations Patient Info Summary

Summary Views:

- Alerts
- Allergies/Comments
- Care Providers
- Health Issues
- Significant Events
- Addresses/Phones/Contacts
- Demographics/Visit Data
- Financial/Employer
- Visit History

Data Entry:

- Address
- Alias
- Allergy
- Care Provider
- Comment
- Contact
- Demographic
- Discharge
- Employer
- Health Issue
- Height/Weight
- Insurer
- Phone
- Significant Event

Type	Health Issue	Status	Scope	Onset Date	Entered Date
Visit Reason	2004-CC-0032	Active	This Visit	7/20/2004	7/20/2004 18:28
H Protocol	2004-CC-0184	Confirmed	General	7/25/2004	7/25/2004 15:44
H Protocol	2004-CC-0032	Confirmed	General	7/25/2004	7/25/2004 15:35
H Protocol	2004-CC-0040	Error	General	7/20/2004	7/20/2004 18:...
H Protocol	2004-C-0017	Removed	General	7/20/2004	7/20/2004 18:...
H Protocol	2001-CC-0005	Terminated	General	7/25/2004	7/25/2004 15:...

☒ Show Inactive

Details History

Ready Ayres, Elaine (Other) SCMDEV Environment - Primary A

Screen 10: Inactive status

Placing a patient on a protocol special exemption

The process for placing a patient on a protocol exemption remains the same as described in the M93-1 MAS policy on the Structure and Process of Research Involving Human Subjects at the Clinical Center. Patients enrolled on special exemptions must be approved by the IC Branch Chief, Clinical Director, IRB Chair and Director of the Clinical Center using the Special Exemption Form (NIH-2702). Once the paper form is completed Medical Records will post the protocol status in CRIS in the health issues section of the patient information tab.

Type	Health Issue	Status	Scope	Onset Date	Entered Date
Visit Reason	2004-CC-0032	Active	This Visit	7/20/2004	7/20/2004 18:28
H) Protocol	2004-CC-0184	Confirmed	General	7/25/2004	7/25/2004 15:44
H) Protocol	2004-CC-0032	Exemption	General	7/25/2004	7/25/2004 15:35

Screen 11: Exemption status

Protocol and Consent Status Reports

To ensure validity and accuracy of the data on protocols and consent status in CRIS, each Institute will receive end-of-month reports. Reports will be by protocol and will be provided to the Principal Investigator or their designee. Ad hoc reports will be available by request. For additional information of these reports, please call the Medical Records Department at 301 496-2292.

